

**COMBINED AMENDMENT & PETITION FOR EXTENSION OF  
TIME UNDER 37 CFR 1.136(a) (Small Entity)**

**Docket No.**

7351/92560

三

**In Re Application Of: Brian C. Tarbox et al.**

A circular library stamp with the text "UNIVERSITY OF ALBERTA LIBRARY" around the perimeter and "STACKS DIVISION" in the center. The date "JULY 19 2004" is stamped diagonally across the top.

#12 SP  
on 1/27/04

Application No.	Filing Date	Examiner	Customer No.	Group Art Unit	Confirmation No.
10/073,632	February 11, 2002	E. Colbert	24628	3624	6664

## Invention:

## SYSTEMS AND METHODS FOR IMPROVING INVESTMENT PERFORMANCE

**COMMISSIONER FOR PATENTS:**

This is a combined amendment and petition under the provisions of 37 CFR 1.136(a) to extend the period for filing a response to the Office Action of February 13, 2004 in the above-identified application.

The requested extension is as follows (check time period desired):

One month       Two months       Three months       Four months       Five months

from: **June 13, 2004**      Date \_\_\_\_\_ until: **July 13, 2004**      Date \_\_\_\_\_

A verified statement of small entity status as a small entity under 37 CFR 1.27:

- is enclosed.  
 has already been filed in this application.

The fee for the amendment and extension of time has been calculated as shown below:

**CLAIMS AS AMENDED**

	CLAIMS REMAINING AFTER AMENDMENT	HIGHEST # PREV. PAID FOR	NUMBER EXTRA CLAIMS PRESENT	RATE	ADDITIONAL FEE
TOTAL CLAIMS	22 -	62 =	0	x \$9.00	\$0.00
INDEP. CLAIMS	2 -	8 =	0	x \$43.00	\$0.00
FEE FOR AMENDMENT					\$0.00
FEE FOR EXTENSION OF TIME					\$55.00
<b>TOTAL FEE FOR AMENDMENT AND EXTENSION OF TIME</b>					<b>\$55.00</b>

07/19/2004 KBTEM91 00000065 230920 10073632

01 FC-2251

**COMBINED AMENDMENT & PETITION FOR EXTENSION OF  
TIME UNDER 37 CFR 1.136(a) (Small Entity)**

Docket No.  
7351/92560

The fee for the amendment and extension of time is to be paid as follows:

- A check in the amount of \_\_\_\_\_ for the amendment and extension of time is enclosed.
- Please charge Deposit Account No. 23-0920 in the amount of \$55.00
- The Director is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 23-0920
- Any additional filing fees required under 37 C.F.R. 1.16.
- Any patent application processing fees under 37 CFR 1.17.
- If an additional extension of time is required, please consider this a petition therefor and charge any additional fees which may be required to Deposit Account No. 23-0920

Thomas W. Tolpin  
*Signature*

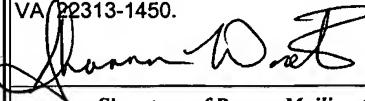
Dated: 7/13/04

Thomas W. Tolpin, Esq. - Reg. No. 27,600  
WELSH & KATZ, LTD.  
120 South Riverside Plaza - 22nd FL.  
Chicago, Illinois 60606

Phone: (312) 655-1500  
Fax: (312) 655-1501

CC:

I certify that this document and fee is being deposited on 07/13/04 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



*Signature of Person Mailing Correspondence*

Shannon Wooten

*Typed or Printed Name of Person Mailing Correspondence*



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JUL 22 2004  
GROUP 3600

3624  
41  
+  
PTO/SB/21 (6-98)

Approved for use through 09/30/2000. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>		Application Number 10/073,632
		Filing Date February 11, 2002
		First Named Inventor Brian C. Tarbox et al.
		Group Art Unit 3624
		Examiner Name E. Colbert
Total Number of Pages in This Submission 18		Attorney Docket Number 7351/92560

**ENCLOSURES (check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Amendment/Response	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notices, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Return Receipt Postcard
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Additional Enclosure(s) <i>(please identify below):</i>
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Small Entity Statement	<input type="checkbox"/> 1. Certificate of Mailing by First Class Mail; and
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	<input type="checkbox"/> 2. Combined Amendment & Petition For Extension of Time Under 37 CFR 1.136(a) (Small Entity).
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks	Confirmation No. 6664	
	TITLE OF INVENTION: Systems And Methods For Improving Investment Performance	

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm or Individual Name	Thomas W. Tolpin, Esq. WELSH & KATZ, LTD.
Signature	
Date	

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope Addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA., 22313-1450

July 13, 2004

Typed or Printed Name	Thomas W. Tolpin, Esq.	Date	
Signature	Thomas W. Tolpin	Date	July 13, 2004

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**CERTIFICATE OF MAILING BY FIRST CLASS MAIL (37 CFR 1.8)**

Applicant(s): Brian C. Tarbox et al.

Docket No.

7351/92560

Application No.  
10/073,632Filing Date  
February 11, 2002Examiner  
E. ColbertCustomer No.  
24628Group Art Unit  
3624

Invention:

**SYSTEMS AND METHODS FOR IMPROVING INVESTMENT PERFORMANCE****RECEIVED**

JUL 22 2004

**GROUP 3600**I hereby certify that this Combined Amd & Pet. For Ext. of Time; Amendment B; Change of Atty/Agents Address  
*(Identify type of correspondence)*

is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on July 13, 2004  
*(Date)*Shannon Wooten*(Typed or Printed Name of Person Mailing Correspondence)**(Signature of Person Mailing Correspondence)***Note: Each paper must have its own certificate of mailing.**Thomas W. Tolpin, Esq. Reg. No. 27,600  
WELSH & KATZ, LTD.  
120 South Riverside Plaza - 22nd Floor  
Chicago, Illinois 60606Phone: (312) 655-1500  
Fax: (312) 655-1501



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JUL 22 2004

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PTO/SB/17 (10-03)

Approved for use through 07/31/2006. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

GROUP 2000

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27TOTAL AMOUNT OF PAYMENT (\$)  
**\$55.00**

## Complete if Known

Application Number	10/073,632
Filing Date	February 11, 2002
First Named Inventor	Brian C. Tarbox et al.
Examiner Name	E. Colbert
Art Unit	3624
Attorney Docket No.	7351/92560

## METHOD OF PAYMENT (check all that apply)

Check  Credit card  Money Order  Other  None  
 Deposit Account:

Deposit Account Number **23-0920**Deposit Account Name **WELSH & KATZ, LTD.**

The Director is authorized to: (check all that apply)

Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) or any underpayment of fee(s)  
 Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity | Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non - English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1401	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR § 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Statement	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	2809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify) _____					
*Reduced by Basic Filing Fee Paid				SUBTOTAL (3) (\$)	\$55.00

\*\*or number previously paid, if greater; For Reissues, see above

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Thomas W. Tolpin, Esq.	Registration No. (Attorney/Agent)	27,600	Telephone	(312) 655-1500
Signature	<i>Thomas W. Tolpin</i>		Date	7/13/04	

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This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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